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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/782,477	02/13/2001	John M. MacLean	TTZ-001.01	9204

44654 7590 12/18/2006

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EXAMINER	
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ART UNIT	**PAPER NUMBER**
2155	

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	12/18/2006	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary	Application No.	Applicant(s)	
	09/782,477	MACLEAN, JOHN M.	
	Examiner	Art Unit	
	Shawki S. Ismail	2155	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☐ Responsive to communication(s) filed on *19 September 2006*.

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-10,12-22,24,25 and 27-75* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-10,12-22,24,25 and 27-75* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date _____.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____.
5) ☐ Notice of Informal Patent Application
6) ☐ Other: _____.

RESPONSE TO AMENDMENT

1. This communication is responsive to the Request for Continued Examination (RCE) amendment received on September 19, 2006.

Claims 1, 10, 13, 27, 33, 36, 43, 46, and 50 have been amended.

Claims 54-75 have been newly added.

Claims 5, 11, 21, 23, and 26 have been cancelled.

Claims 1-4, 6-10, 12-20, 22, 24-25, and 27-75 are pending.

The New Grounds of Rejection

2. Applicant's amendment and arguments received on September 19, 2006 have been fully considered, however they are deemed to be moot in view of the new grounds of rejection.

Claim Rejections - 35 USC § 112

3. The following is a quotation of the second paragraph of 35 U.S.C. 112:

> The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 74-75 rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. The claims states "initiating a capture of data communicated to the client application and from the client application after the data is sent from the client application and before data is received at the client application, wherein the captured data includes data sent to a second server application distinct from the first server application" It is unclear how the data is communicated to the client application from the client application and furthermore wherein the captured data is also sent to a second

server. Is the same data that is sent to the client application also sent to the second server and from where is the data being sent from.

Claim 74-75 recites the limitation "the first interaction" There is insufficient antecedent basis for this limitation in the claim.

Claim Rejections - 35 USC §103

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

5. Claim 1-4, 7-10, 12-20, 22, 24-25, and 27-53 are rejected under 35 U.S.C. 103(a) as being unpatentable over **Wang et al. (Wang)**, U.S Patent No. **6,662,226** and in view of **Wenig et al. (Wenig)**, U.S. Patent No. **6,286,030** and further in view of **DiAngelo et al. (DiAngelo)** U.S. Patent No. **6,101,482**.

6. As to claim 1, Wang teaches a transaction management system comprising:

a server application that hosts a transaction, (col. 4, lines 21-26, Transaction Recording System (TRS) Server);

a network (col. 4, lines 11-20);

a client application connected in a communicating relationship with the server application over the network, and the client application participating in the transaction hosted by the server application (col. 4, lines 11-20, a client interacts with a terminal device via an associated user interface); and

a filter application operating between the server application and the client application to capture data associated with the transaction (see Fig. 2, col. 5, lines 21-36, a separate accessible server device contains storage in which part of the storage is allocated to retain captured information for the client device. The server device inherently contains a filter to capture information from the client device),

Wang does not explicitly teach wherein the captured data includes preprocessed data passing between the server application and the client application.

Wenig teaches an auditor capture filter that captures and stores each request form the client and each response by the server in an auditor storage. The auditor capture filter in one embodiment being located between the client and server and captures request and response before they are received (preprocessed) by the server and the client, respectively (refer to Fig. 1, abstract and col. 3, lines 59-62).

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to incorporate the teaching of Wenig in the invention of Wang in order to be able to place the capturing filter in between the communication paths of the client application and the server application in order to allow the capturing filter to capture the transaction data before it is processed by the client or server applications and allows the capture filter to capture the raw data as it passes as opposed to the rendered data that has already been processed.

Wang and Wenig do not explicitly teach associating the data captured during each of the two or more sessions with a transaction.

DiAngelo teaches a method of purchasing products and services on-line wherein transaction information is collected and maintained across multiple independent transaction sessions from heterogeneous web sites (see abstract)

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to incorporate the teaching of DiAngelo into the inventions of Wang and Wenig in order to allow transaction session information to be compiled. Compiling all sessions associated with a single transaction would make the system robust. This would lead to efficient system management of access to stored information associated with a transaction at the multiple sessions.

7. As to claim 2, Wang teaches the transaction management system of claim 1 further comprising:

a client computer upon which the client application resides (col. 3, lines 10-18);

a server computer upon which the server application resides (col. 3, lines 10-18);; and

wherein the filter application resides operates on the server computer (col. 4, lines 21-27, the capturing device is resident on the TRS.)

8. As to claim 3, Wang teaches the transaction management system of claim 1 further comprising a second server application connected in a communicating relationship with the server application that hosts the transaction and further connected in a communicating relationship with the client application, wherein the filter application captures transaction data passed from the server application to the second server application to the client application (col. 4, lines 21-27).

9. As to claim 4, Wang teaches the transaction management system of claim 1 further comprising a document repository that stores data captured by the filter application, wherein the data is indexed according to tat least one of a transaction type, transaction party, a transaction time, or a transaction identifier·(storage space 246, col. 4, lines 54-58, and col. 5, lines 25-36, storage space 256 is allocated to retain captured information.)

10. As to claim 7, Wang teaches the transaction management system of claim 4 further comprising a viewer for viewing the captured transaction data stored in the document repository (col. 9, lines 43-47, the archived data is retrieved and played back and displayed on a screen for review.)

11. As to claim 8, Wang teaches the transaction management system of claim 7 wherein the captured transaction data includes a record of a transaction between the server application and the client application (col. 4, lines 45-61, the capturing device captures screen displays and user inputs.)

12. As to claim 9, Wang teaches the transaction management system of claim 1 wherein the preprocessed data includes at least one a facsimile data, print stream data, application document data, hypertext transfer protocol data, graphics data, and audio data (col.6, lines 41-47.)

13. As to claim 10, Wang teaches the transaction management system of claim 1 wherein the filter application is configured to begin capture upon occurrence of one or more predetermined events, and further wherein the filter is configured to stop capture upon occurrence of one or more predetermined events (col. 6, lines 41-47 and col. 8,

lines 57-61, the capturing process is triggered when a user logs on a particular screen and when there are no more new screens displayed the capture process is triggered to end.)

14. As to claim 12, Wang teaches the transaction management system of claim 1 further comprising a configuration interface with which a user selects data to be captured during the transaction (col. 4, lines 45-54, a user initiates the capture process through a user interface which captures a series of displays on a screen through a pre-defined user interface interaction.)

15. As to claim 13, Wang teaches the method for managing transactions conducted over a network comprising:

detecting a first event (col. 8, lines 32-38, when the initial display triggers the TRS process, screen capturing device is activated);

in response to the first event, initiating a capture of data communicated between a client application and a server application (col. 8, lines 32-38, the screen capturing device is activated which captures a series of displays on a screen) as the data is communicated between the client application and the server application, wherein the captured data includes preprocessed data

detecting a second event (col. 8, lines 57-61, when there is no new screen displayed the second event is triggered);

in response to detection of the second event, stopping the capture of data

communicated between the client application and the server application (col. 8, lines 57-61, when there are no more new screens being displayed the capture process is triggered to end); and

storing the captured data (col. 8, lines 55-57, whenever a display is captured it is transported to the storage device.)

Wang does not explicitly teach wherein the captured data includes preprocessed data passing between the server application and the client application.

Wenig teaches an auditor capture filter that captures and stores each request form the client and each response by the server in an auditor storage. The auditor capture filter in one embodiment being located between the client and server and captures request and response before they are received (preprocessed) by the server and the client, respectively (refer to Fig. 1, abstract and col. 3, lines 59-62).

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to incorporate the teaching of Wenig in the invention of Wang in order to be able to place the capturing filter in between the communication paths of the client application and the server application in order to allow the capturing filter to capture the transaction data before it is processed by the client or server applications and allows the capture filter to capture the raw data as it passes as opposed to the rendered data that has already been processed.

Wang and Wenig do not explicitly teach associating the data captured during each of the two or more sessions with a transaction.

DiAngelo teaches a method of purchasing products and services on-line wherein transaction information is collected and maintained across multiple independent transaction sessions from heterogeneous web sites (see abstract)

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to incorporate the teaching of DiAngelo into the inventions of Wang and Wenig in order to allow transaction session information to be compiled. Compiling all sessions associated with a single transaction would make the system robust. This would lead to efficient system management of access to stored information associated with a transaction at the multiple sessions.

16. As to claim 14, Wang teaches the method of claim 13 wherein storing the captured data is performed after detecting the second event (col. 8, line 62 – col. 9, line 3, the captured displays are transported to the server where they are stored in a storage device.)

17. As to claim 15, Wang teaches the method of claim 13 further comprising retrieving the captured data and displaying the captured data in its preprocessed form (col. 9, lines 43-47, the archived data is retrieved and played back and displayed on a screen for review.)

18. As to claim 16, Wang teaches the method of claim 13 wherein the captured data includes a hypertext transfer protocol session (col. 6, lines 41-47, the capturing device captures web pages and URI's.)

19. As to claim 17, Wang teaches the method of claim 16 further comprising:

capturing a form from the server application (col. 4, lines 45-50, since the capturing device is capturing a series of displays, one of the display might be a form);

capturing data relating to the form from the client application (col.4, lines 54-61, the capturing device also captures data related to the captured content by capturing validation information on the form); and

storing the data relating to the form from the client application in the form as one or more default values of the form (col.4, line 54-61, after the capturing of a series of displays the content is then transferred to a storage device.)

20. As to claim 18, Wang teaches the method of claim 13 further comprising in response to the first event, initiating a capture of data communicated between the client application and a third-party provider of content (col. 5, lines 62-65.)

21. As to claim 19, Wang teaches the method of claim 17 wherein the content includes at least one of banner advertisements or price quotations (col. 4, lines 45-50, since the capturing device is capturing a series of displays, one of the display might be an advertisement or a price quotation.)

22. As to claim 20, Wang teaches the method of claim 13 wherein the first event includes navigation by the client application to one or more predetermined addresses and wherein the second event includes navigation by the client application to one or more predetermined addresses (col. 6, lines 36-40 and col. 8, lines 57-61, the TRS archiving is triggered through a predefined web address and when there are no more new web pages being displayed the capture process is triggered to end.)

23. As to claim 22, Wang teaches the method of claim 13 further comprising configuring the first event and the second event to correspond to one or more predetermined universal resource locators (col. 6, lines 41-47); and

configuring one or more attributes by which the data is indexed (col. 7, lines 46-55, adding a time stamp to indicate when the content was captured.)

24. As to claim 24, Wang teaches the method of claim 13 further comprising configuring the capture of data to include a portion of the data communicated between the client application and the server application, the portion being less than all of the data communicated between the client application and the server application (col. 4, lines 45-61, the capturing device captures screen displays and user inputs.)

25. As to claim 25, Wang teaches the method of claim 13 wherein the data communicated between the client application and the server application includes data relating to an electronic commerce transaction between the client application and the server application (col. 3, lines 10-15.)

26. As to claim 27, Wang teaches a method for managing transactions comprising:

processing an electronic commerce transaction between a client application and a server application (col. 3, lines 10-18);

capturing data for the electronic commerce transaction between the server application and the client application (col. 3, lines 10-15),

wherein the data is captured in a form that permits review of the transaction as displayed to the client during the transaction (col. 9, lines 43-47, the archived data is retrieved and played back and displayed on a screen for review),

Wang does not explicitly teach wherein the captured data is captured as the data passes between the client application and the server application.

Wenig teaches an auditor capture filter that captures and stores each request form the client and each response by the server in an auditor storage. The auditor capture filter in one embodiment being located between the client and server and captures request and response before they are received (preprocessed) by the server and the client, respectively (refer to Fig. 1, abstract and col. 3, lines 59-62).

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to incorporate the teaching of Wenig in the invention of Wang in order to be able to place the capturing filter in between the communication paths of the client application and the server application in order to allow the capturing filter to capture the transaction data before it is processed by the client or server applications and allows the capture filter to capture the raw data as it passes as opposed to the rendered data that has already been processed.

Wang and Wenig do not explicitly teach associating the data captured during each of the two or more sessions with a transaction.

DiAngelo teaches a method of purchasing products and services on-line wherein transaction information is collected and maintained across multiple independent transaction sessions from heterogeneous web sites (see abstract)

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to incorporate the teaching of DiAngelo into the inventions of Wang and Wenig in order to allow transaction session information to be compiled. Compiling

all sessions associated with a single transaction would make the system robust. This would lead to efficient system management of access to stored information associated with a transaction at the multiple sessions.

27. As to claim 28, Wang teaches the method of doing business of claim 27 further comprising:

initiating capture of the transaction data upon a first event occurring (col. 6, lines 36-40 the TRS archiving is triggered through a predefined web address);

ending capture of the transaction data upon a second event occurring (col. 8, lines 57-61, when there are no more new web pages being displayed the capture process is triggered to end);

storing the electronic commerce transaction in a document repository (storage space 246, col.5, lines 25-36, storage space 256 is allocated to retain captured information); and

providing a viewer for reviewing the transaction stored in the document repository (col. 9, lines 43-47, the archived data is retrieved and played back and displayed on a screen for review.)

28. As to claim 29, Wang teaches the method of claim 27 wherein the capturing is performed by a filter application that resides on a client system and the filter application operates as a proxy to the server that hosts the electronic commerce transaction (col. 4, lines 21-27, the capturing device is resident on the TRS.)

29. As to claim 30, Wang teaches the method of claim 27 wherein the filter resides on a second server, the second server operating as a proxy to the server that hosts the electronic commerce transaction (col. 4, lines 21-27).

30. As to claim 31, Wang teaches the method of claim 28 wherein access to the document repository is provided as a service to at least one of the client application or the server application and wherein one or more types of data are included in the capture of the transaction data (col. 9, lines 34-47, the host might want to see how the user used their website therefore they can conveniently go to the data storage to view what the user did.)

31. As to claim 32, Wang teaches the method of claim 27 further comprising using the captured electronic commerce transaction to verify the transaction after the transaction has been completed (col. 9, lines 43-47, the archived data is retrieved and played back and displayed on a screen for review.)

32. As to claim 33, Wang teaches a transaction management system comprising:

a server application that hosts a transaction, (col. 4, lines 21-26, Transaction Recording System (TRS) Server);

a client application in communication with the server application over a network, thereby forming a communication path between the client application and the server application, wherein the client application is participating in the transaction hosted by the server application (col. 4, lines 11-20, a client interacts with a terminal device via an associated user interface); and

a filter application operable to capture data associated with the transaction (see Fig. 2, col. 5, lines 21-36, a separate accessible server device contains storage in which part of the storage is allocated to retain captured information from the client device. The server device inherently contains a filter to capture information for the client device).

Wang does not explicitly teach wherein the captured data is captured as the data passes between the client application and the server application.

Wenig teaches an auditor capture filter that captures and stores each request form the client and each response by the server in an auditor storage. The auditor capture filter in one embodiment being located between the client and server and captures request and response before they are received (preprocessed) by the server and the client, respectively (refer to Fig. 1, abstract and col. 3, lines 59-62).

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to incorporate the teaching of Wenig in the invention of Wang in order to be able to place the capturing filter in between the communication paths of the client application and the server application in order to allow the capturing filter to capture the transaction data before it is processed by the client or server applications and allows the capture filter to capture the raw data as it passes as opposed to the rendered data that has already been processed.

Wang and Wenig do not explicitly teach associating the data captured during each of the two or more sessions with a transaction.

DiAngelo teaches a method of purchasing products and services on-line wherein transaction information is collected and maintained across multiple independent transaction sessions from heterogeneous web sites (see abstract)

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to incorporate the teaching of DiAngelo into the inventions of Wang and Wenig in order to allow transaction session information to be compiled. Compiling all sessions associated with a single transaction would make the system robust. This would lead to efficient system management of access to stored information associated with a transaction at the multiple sessions.

33. As to claim 34-35, Wang teaches the system of claim 33. Wang does not explicitly teach wherein the captured data includes preprocessed data passing between the server application and the client application.

Wenig teaches an auditor capture filter that captures and stores each request form the client and each response by the server in an auditor storage. The auditor capture filter in one embodiment being located between the client and server and captures request and response before they are received (preprocessed) by the server and the client, respectively (refer to Fig. 1, abstract and col. 3, lines 59-62).

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to incorporate the teaching of Wenig in the invention of Wang in order to be able to place the capturing filter in between the communication paths of the client application and the server application in order to allow the capturing filter to capture the transaction data before it is processed by the client or server applications

and allows the capture filter to capture the raw data as it passes as opposed to the rendered data that has already been processed.

34. As to claims 36-53 they do not teach or define any new limitation above the rejected claims above, therefore, they are rejected for similar reasons

35. A

36. Claim 6 is rejected under 35 U.S.C. 103(a) as being unpatentable over **Wang et al.** (Wang), U.S Patent No. **6,662,226** further in view of **DiAngelo et al. (DiAngelo)** U.S. Patent No. **6,101,482Clarin et al** and further in view of Clarin U.S. Patent No. **6,414,725**.

37. As to claim 6, Wang teaches the transaction management system of claim 1 further comprising a document repository that stores data captured by the filter (col. 8, lines 55-57, whenever content is captured by the capture device, it is transported to the storage device.)

Wang Wenig and DiAngelo do not explicitly teach the storage of data having a plurality of formats.

However, Clarin teaches the storage of data having a plurality of formats (col. 2, line 61 – col. 3, line, 4, storing incoming television signals consisting of video and associated audio in multiple different formats simultaneously).

It would have been obvious to one of ordinary skill in the art at the time of the invention was made to combine Wang and Clarin to store data having a plurality of formats in order to permit economical and faster accessibility of the data.

38. As to claim 54, Wang teaches the system of Claim 1, wherein each of the two or more sessions occurs at a different time.

39. Claims 54-73 do not teach or define any new limitation beyond the claims above, therefore they are rejected for similar reasons.

40. Claim 74-75are rejected under 35 U.S.C. 103(a) as being unpatentable over **Wenig et al. (Wenig)**, U.S. Patent No. **6,286,030.**

41. As to claim 74, Wang teaches a method for managing transactions conducted over a network comprising:

transmitting an object from a first server application to a client application in response to a request from the client application (col. 5, lines 40-60);

detecting an interaction with the object at the client application (col. 9, line 49 – col. 10, line 8);

in response to the first interaction, initiating a capture of data communicated to the client application and from the client application after the data is sent from the client application and before data is received at the client application, wherein the captured data includes data sent to a second server application distinct from the first server application (col. 3, lines 12-17);

detecting an event (col. 10, 9-26) ; and

in response to detection of the second event, stopping the capture of the data communicated to the client application or from the client application.

42. As to claim 75, Wang teaches the method of Claim 75, wherein the first server application is controlled by a first party and the second server application is controlled by a second party different from the first party (col. 3, lines 12-17).

Response to Arguments

43. Applicant's arguments have been fully considered but they are deemed to be moot in view of the new grounds of rejection.

Contact Information

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Shawki S Ismail whose telephone number is 571-272-3985. The examiner can normally be reached on M-F 8:30 - 5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Saleh Najjar can be reached on 571-272-4006. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Shawki Ismail
Patent Examiner
December 10, 2006

Bharat Barot.

BHARAT BAROT
PRIMARY EXAMINER